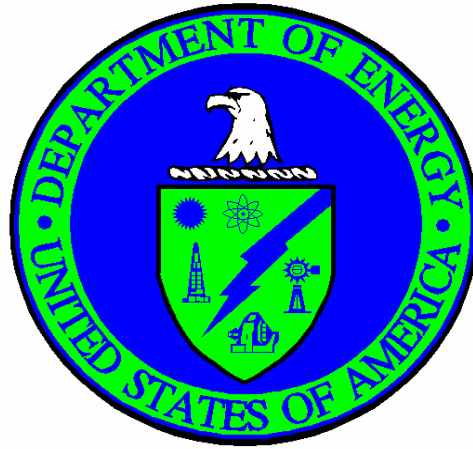


**U. S. Department of Energy**

**Office of Environment, Safety and Health**



# **Human Capital Management Plan**

## **Report**

**September 2006**

# Executive Summary

---

The Office of Environment, Safety and Health (EH) is the Departmental advocate for excellence in programs to protect the environment, as well as the health and safety of workers at Department of Energy (DOE) facilities and the public. In addressing this mission, EH has implemented a Human Capital Management (HCM) Plan to acquire, assign, employ, and manage a staff that is successful in attaining objectives, efficient in operations, optimal in organization, and effective in terms of cost. The Plan also addresses issues of equity, such as compensation levels, awards, and cultural and ethnic diversity.

Many strategies are used to inculcate the agency mission and the human-capital plan into the day-to-day operations of EH. These strategies include:

- Conducting staff briefings
- Tracking of current hiring actions using SF-52 Tracking System
- Implementation of the Senior Executive Service (SES) Merit Staff Process
- Maintenance of a skill-gap spreadsheet
- Addressing critical skills mix and mission objectives gaps
- Offering of Executive Development training
- Application of Knowledge Management principles
- Recruitment and employment of minority and female staff members
- Support of career-development activities
- Conduct of periodic performance reviews
- Maintenance of individual development plans
- Inclusion of adequate resources for the analysis, restructuring, and training of the workforce in projected budgets

During FY 2006, EH's mission, budget, and HCM plan drove the day-to-day conduct of the Office. Some of the improvements realized in the operations of the Office include:

- Training Initiatives:
  - Effective online training was offered which has reduced training cost by approximately 10 percent
  - Training has been identified for those with Project Management or Contract Management skill gaps, and staff has been enrolled in certification program courses
  - Guidelines and training materials on the performance-appraisal processes, and procedures were developed, and training sessions in performance review and appraisal requirements and procedures were conducted for managers and supervisors
  - Staff were trained to use the SF-52 Tracking System
  - Training and development funding needs were compiled into the Annual Training Report for FY 2007 needs
  - Rule 10 CFR 851 Implementation Worker Safety and Health Program Workshops were held to allow both DOE federal and contractor staff to learn about the new rule
  - Co-sponsored the Chemical Management Workshop: A forum for DOE and DOE contractor personnel to identify chemical management related issues of concern to the DOE (American Board of Industrial Hygiene agreed to award up to 3.0 certification maintenance [CM] points to Certified Industrial Hygienists for attending the workshop to apply toward their CM points in the area of Meetings and Education Programs category)

- Sponsored the DOE Technology Supported Learning Index: An electronic index of technology supported learning courses, briefings, and resources useful to environment, safety and health training professionals
- Sponsored the Industrial Hygiene/Occupational Safety Special Interest Group (IH/OS SIG): A peer-to-peer network of personnel from the DOE and its contractors, subcontractors, and labor involved in occupational safety and health issues
- Distributed through the IH/OS SIG to DOE and DOE contractors, two new video products developed at Los Alamos National Laboratory by the Health, Safety, and Radiation Protection Division: *Electrical Lessons* and *Nested—The Nested Safety and Security Committee Process*
- Minorities and Women in the Workforce Strategies Initiatives:
  - Hispanic Recruitment Program was implemented
  - Utilized the Minorities in Science and Engineering Consortium (established by the Hispanic Employment initiative) in posting vacancy announcements
  - An EH-7 staff member served on the DOE Hispanic Requirement Initiative Team
  - Two Hispanic and one African American interns have been recruited (two females and one male)
  - EH participated in DOE's Katrina Relief program by providing college assistance to one female minority student from Louisiana
  - Sponsorship increased for the number of minority students/professors (7 males and 7 females – one Hispanic and 13 African American attendees) that attended the Day of Science at Oak Ridge National Laboratory (increased from 8 to 14 attendees)
- Hiring/Recertification/Realignment/Reassignment Initiatives:
  - User guide for the Corporate Human Resource Information System was made available through the EH-7 Website
  - SES Merit Staff Process (82 calendar day model) was implemented
  - A Hiring Action Tracking Checklist was used to gather in one place, data about all recruiting actions
  - Skills Gap Matrix was distributed to all Deputy Assistant Secretaries (DASs), completed, and submitted to the Office of Management, Budget and Evaluation (ME) with projections through 2012
  - Critical Skills Gap spreadsheet was updated quarterly
  - EH identified their top mission critical skills gap to fill (Engineer, Environmental Protection Specialist, and Occupational Safety and Health Manager). One of the skill gap positions (General Engineer) was filled in 2006 with progress being made to close the gap on the remaining critical skills positions as well additional engineering positions.
  - Skill gaps were reduced through hiring, recertification, realignment, and reassignment
  - DASs briefed all potential candidates on certification programs and employee development programs
  - EH supervisors ensured that employees in certification programs were progressing as expected
  - Positions were identified for restructuring, realignment, or reassignment based on identification of mission-critical needs
  - Strategies that were listed as a part of the HCM Plan and information from skill-gap analysis were used to formulate the Program Direction funding request for FY 2008

- Individual Development Plans were collected
- Mid-year progress reviews were completed, and performance/progress issues were documented and discussed with employees
- All year end reviews and performance/progresses will be document and discussed by end of FY 2006
- Employee and DOE Executive Development plans were given to Senior Management for review and were promoted at senior staff meetings and through E-mail messages
- Bench-Strength Report was submitted to ME, identifying areas in which executive development is needed
- Restructure continues of the EH organization to respond to DNFSB Rec. 2004-1
- Each office in EH has reviewed current jobs and tasks for competitive-sourcing opportunities
- In 2005, EH compiled the list of positions to be included in the buyout for FY 2006 through FY 2007. The buyout plan was approved in 2006 which EH is currently implementing.
- EH received approval to offer the Voluntary Early Retirement Authority (VERA) Plan. Through the VERA offer, staff in five mid-level positions retired resulting in an estimates cost saving of \$346,000.
- The budget request for FY 2007 was submitted on February 1, 2006
- E-Government solutions were implemented in the aforementioned initiatives as appropriate

# TABLE OF CONTENTS

<b>Executive Summary .....</b>	<b>i</b>
<b>Acronym List .....</b>	<b>vi</b>
<b>Chapter 1: Integration of Mission, Human Capital Management Plan, and Decision-Making Processes.....</b>	<b>1</b>
Introduction .....	1
DOE Mission .....	1
EH Mission .....	1
Mission of Individual EH Offices.....	2
Use of the DOE Mission and Human Capital Management Plan in Decision-Making Processes .....	3
Accountability Officials.....	3
Scorecard Summary .....	4
<b>Chapter 2: Workforce Hiring-Time Reduction Strategy .....</b>	<b>6</b>
Introduction .....	6
Senior Executive Service Merit Staff Process .....	6
Personnel Action Tracking System (SF-52) .....	6
Scorecard Summary .....	7
<b>Chapter 3: Mission-Critical-Skills Gap-Reduction Plan .....</b>	<b>9</b>
Introduction .....	9
Critical-Skill-Gap Identification .....	9
Recruitment Plan.....	9
Certification Needs Process .....	9
Competitive Sourcing .....	9
E-Government.....	10
Scorecard Summary .....	10
<b>Chapter 4: Succession Plan Strategy Implementation .....</b>	<b>14</b>
Introduction .....	14
Position Upgrades/Noncompetitive promotions .....	14
Employee Development Plan.....	14
Executive Development Program .....	14
Scorecard Summary .....	15
<b>Chapter 5: Knowledge Management .....</b>	<b>16</b>
Introduction .....	16
Knowledge Management Program Web Portal .....	16
Web-Based Training Resources.....	17
EH Website .....	18
Scorecard Summary .....	21

<b>Chapter 6:</b>	<b>Workforce and Workplace Diversity .....</b>	<b>23</b>
	Introduction .....	23
	Workforce Diversity Strategies for Women and Minority.....	23
	Scorecard Summary .....	23
<b>Chapter 7:</b>	<b>Analysis and Optimization of Organizational Structure.....</b>	<b>26</b>
	Introduction .....	26
	Technician Positions Restructuring Review .....	26
	EH Worker Advocacy Staff Redeployment, Realignment, and Reassignment .....	26
	Scorecard Summary .....	27
<b>Chapter 8:</b>	<b>Performance Appraisals .....</b>	<b>29</b>
	Introduction .....	29
	Guidelines and Training Materials .....	29
	Supervisory Training .....	29
	Scorecard Summary .....	30
<b>Chapter 9:</b>	<b>HCM Plan and Related EH Future Budgetary Needs .....</b>	<b>31</b>
	Introduction .....	31
	Scorecard Summary .....	31
<b>Chapter 10:</b>	<b>Conclusion.....</b>	<b>33</b>

## **APPENDICES**

<b>Appendix A:</b>	<b>Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarters 1 and 2 Results Submission ...</b>	<b>34</b>
<b>Appendix B:</b>	<b>Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarters 3 and 4 Results Submission ..</b>	<b>45</b>

# Acronym List

---

ATR	Annual Training Report
CAIRS	Computerized Accident/Incident Reporting System
CAMP	Correction Action Management Program
CATS	Correspondence and Action Tracking System
CEDR	Comprehensive Epidemiologic Data Resource
CHRIS	Corporate Human Resource Information System
CM	Certification Maintenance
CRADs	Criteria Review and Approach Documents
DASs	Deputy Assistant Secretaries
DHS	Department of Health and Human Services
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOL	Department of Labor
EEOICPA	Energy Employees Occupational Illness Compensation Program Act of 2000
EH	Office of Environment, Safety and Health
ES&H	Environment, Safety and Health
FTE	Full Time Employee
FY	Fiscal Year
HCM	Human Capital Management
HR	Human Resources
IDP	Individual Development Plan
IH/OS SIG	Industrial Hygiene/Occupational Safety Special Interest Group
ME	Office of Management, Budget and Evaluation
NTS	Noncompliance Tracking System
OMB	Office of Management and Budget
OPM	Office of Personnel Management
ORNL	Oak Ridge National Laboratory
ORPS	Occurrence Reporting and Processing System
P2	Pollution Prevention
PMA	President's Management Agenda
REMS	Radiation Exposure Monitoring System
RESL	Radiological and Environmental Sciences Laboratory
RIF	Reduction in Force
SDPP	Student Diversity Partnership Program
SES	Senior Executive Service
TSL	Technology Supported Learning
VERA	Voluntary Early Retirement Authority
VSIP	Voluntary Separation Incentive Program

# Chapter 1:

## Integration of Mission, Human Capital Management Plan, and Decision- Making Processes

---

### INTRODUCTION

#### DOE Mission

The Department of Energy's (DOE) overarching mission is to advance the national, economic, and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex. The Department has four strategic goals toward achieving the mission:

- *Defense Strategic Goal:* To protect our national security by applying advanced science and nuclear technology to the Nation's defense
- *Energy Strategic Goal:* To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy
- *Science Strategic Goal:* To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge
- *Environment Strategic Goal:* To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste

#### EH Mission

The Office of Environmental, Safety and Health's (EH) mission is to provide the corporate leadership, performance goals, assistance, policies, programs and feedback to enable DOE to excel in mission performance while achieving excellence in safety and environmental stewardship.

EH is the Departmental advocate for excellence in programs to protect the environment, as well as the health and safety of workers at DOE facilities and the public. The Office's central role as a Department-wide resource has been developed with the participation of a wide range of stakeholders and reflects the Office's statutory and regulatory mandates. The Office's commitment to excellence in environment, safety and health is demonstrated by striving for:

- Continuous improvement in developing effective programs and policies
- Strong and independent oversight of environment, safety, health, safeguards, and security performance
- Effective and "value-added" technical assistance provided to customers

Open communication, participation, and performance feedback on the Office's activities from relevant parties are integral to its success.



The Assistant Secretary for EH serves as the principal advisor to the Secretary of Energy on matters relating to protection of the environment, workers, and the public from hazards posed by DOE facilities and operations. In accordance with the Secretary's commitment to openness, the Office's functions are to:

- Ensure conformance of the Department's activities with applicable laws and requirements governing protection of the environment, as well as the safety and health of the public and the workers at DOE facilities
- Conduct scientific and technical programs to enhance the Department's ability to protect the health and safety of workers and the public
- Maintain a diverse, well-trained, and motivated work force empowered to participate fully in the Office's missions
- Ensure the adequacy of training programs aimed at providing DOE and contractor employees with adequate understanding of work related hazards and their responsibilities to protect themselves, the public, and the environment

Specific functions of EH that serve its principal customers include:

- Development and establishment of environmental, occupational safety and health, and medical policies and rules for operation of Departmental facilities that are effective, efficient, and state-of-the-art
- Conduct of independent oversight activities that provide a comprehensive, accurate understanding of the state of environment, safety, health, safeguards, and security performance at DOE facilities and that identify programmatic vulnerabilities and opportunities for improvement in a timely manner
- Provision of technical assistance to the Department's programs to foster the identification and resolution of environment, safety, health, safeguards, and security issues. Examples of such activities include:
  - Mentoring
  - Partnering with line programs to develop and implement new programs
  - Assist programs in implementation of a standards based safety culture
  - Maintenance of an effective health surveillance system which includes data gathering and analysis
  - Liaison with other Federal agencies, such as the Environmental Protection Agency and the Occupational Safety and Health Administration to identify and advocate regulatory activities of those agencies that may affect Departmental operations

### **Mission of Individual EH Offices**

**Office of Facility Safety (EH-2):** Ensure that effective safety policies and procedures guide the operations of the DOE Facilities.

**Office of Corporate Performance Assessment (EH-3):** Provide analysis and certification of DOE-wide performance in protecting the public, the workers and the environment while performing the missions of DOE. This analysis supports corporate decision-making and synthesizes operational information to support continuous environment, safety and health (ES&H) improvement across the DOE complex.

**Office of Environment (EH-4):** Promote cost effective DOE mission accomplishment by providing corporate policy and guidance to meet current and future environmental compliance requirements, developing guidance for Departmental environmental stewardship responsibilities and setting goals to minimize the environmental impacts of DOE operations.

**Office of Health (EH-5):** Develop, manage and directs programs that provide comprehensive and effective policy for protecting the safety and health of workers at DOE facilities and the communities surrounding those facilities.

**Office Price-Anderson Enforcement (EH-6):** Implement the Department of Energy's (DOE) Enforcement Program. This program incorporates DOE's congressional mandate to apply sanctions to contractors for unsafe actions or conditions that violate nuclear safety requirements for protecting workers and the public. DOE's statutory basis for its Enforcement Program is set forth in 42 USC 2271 et seq. Regulatory procedures to fulfill this statutory mandate are published in 10 CFR Part 820, Procedural Rules for DOE Nuclear Activities.

**Office of Planning and Administration (EH-7):** Provide the leadership and centralized management and direction for EH planning, budgeting, training, financial, human resources, and program execution processes; to ensure that these processes are effective, and fully integrated and consistent with the Department-wide processes and requirements; and to facilitate and document the Office's progress on the President's Management Agenda.

#### **Use of the DOE Mission and Human Capital Management Plan in Decision-Making Processes**

Many strategies are used to inculcate the agency mission and the Human Capital Management (HCM) Plan into the day-to-day operations of EH. These strategies include the conduct of staff briefings on a regular basis, the coordination of activities in support of the plan, and ad hoc meetings on special topics to explain and promote new activities. Current hiring actions are now tracked to foster the rapid processing of applicants and filling of openings in the Office. In a similar vein, a skill gaps spreadsheet is being used to coordinate and promote the recertification and hiring of personnel to address gaps in critical skills possessed by Office personnel. Executive development training is offered to EH managers. Final performance appraisals and individual development plans are conducted in a timely fashion. And the skill-gap analysis, organizational restructuring, and training needs analysis, are used to develop the funding request for the upcoming fiscal year.

#### **Accountability Officials**

In the past, agencies have assessed accountability through different variables, with the purpose of measuring operational effectiveness and efficiencies. The incorporation of Accountability standards as one of the Human Capital strategies under the Presidential Management Agenda and the establishment of new Civil Service Rules on Human Resources Management have placed accountability criteria at the forefront of measuring operational outcomes and deliverables. As a result, the Department has begun to assess and identify commonalities for measuring program strategic outcomes. The Office of Personnel Management (OPM) issued accountability standards that describe the essential features of an internal Human Resource Accountability system. In support of this initiative, EH Deputy Assistant Secretaries (DASs) were designated as accountability officials. The DASs continued to serve as accountability officers in 2006.

## SCORECARD SUMMARY

Integrate HCM Plan into Decision-Making Processes	
Milestones/Activities	Results and Projections
<p>Identify DOE goals the EH supports and relate HCM plan to those goals.</p> <p>Show how results from the HCM plan have contributed through the decision-making process to drive continuous improvement.</p> <p>Review EH support of DOE mission and focus buyout strategy based on ability to meet mission.</p> <p>Conduct briefings for all appropriate EH staff on a regular basis about the EH HCM Plan activities and how to incorporate the Plan into decision making when doing strategic, program, and workforce planning.</p>	<p><b>Results for 2006</b></p> <p>DOE goals that EH supports were identified and the HCM Plan was related to those goals. Staff are provided briefings on regular basis or as needed based on circumstances.</p> <p>All DASs continued to serve as accountability officials.</p> <p>EH continues to address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. On November 10, 2005, EH received approval to offer the Voluntary Early Retirement (VERA) through September 30, 2006. Since the approval, five employees have retired using the VERA resulting in an estimates cost saving of \$346,000:</p> <ul style="list-style-type: none"> <li>• Budget Analyst, GS-560-15</li> <li>• Electrical Engineer, GS-850-14</li> <li>• External Affairs Advisors, GS-301-15</li> <li>• Industrial Hygienist, GS-690-15</li> <li>• Supervisory Nuclear Engineer, GS-840-15</li> </ul> <p>These measures meet the objective of the President's Management Agency (PMA) by reducing the number of mid-level positions by five.</p> <p>In 2005, EH compiled the list of positions to be included in the buyout for FY 2006 through FY 2007. The buyout plan was approved in 2006 for EH to implement. This measure meets the objective of the PMA. Utilizing a buyout authorization will result in significant cost-savings. Two EH staff members have taken regular retirement.</p> <p>EH organizations used September 2004 HCM Plan in their decision-making processes when determining the best strategies for obtaining the correct mix of skills and knowledge for carrying out their work. For example, the organizations have:</p> <ul style="list-style-type: none"> <li>• Used skill gap analysis as basis to determine the need for hiring and restructuring of title, grade, and series changes</li> </ul>

<b>Integrate HCM Plan into Decision-Making Processes</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
	<ul style="list-style-type: none"> <li>Followed the EH Hispanic Employment Plan and utilized the Minorities in Science and Engineering Consortium (established by the Department's Hispanic Employment initiative) in posting vacancy announcements</li> </ul> <p>Specific examples of this integrative process include:</p> <ul style="list-style-type: none"> <li>EH-3 has a representative on the EH Hispanic Employment Plan work group which aids EH in having a better understanding of the integration process</li> <li>EH-7 has a staff member serving on the DOE Hispanic Requirement Initiative Team</li> <li>EH utilized the 2005 Student Diversity Partnership Program in selecting three minority Interns (two Hispanic and one African American) made up of two females and one male</li> </ul> <p>Supervisors met with staff to talk about HCM issues related to workforce requirements needed for meeting the DOE mission each quarter of FY 2006.</p> <p>A list of the EH HCM Plan cycle activities was provided to accountability officials for briefing their staff.</p> <p style="text-align: center;"><b>Projections for 2007</b></p> <p>Quarterly meetings of supervisors will be held with staff to discuss HCM issues. More frequent meetings will be held as needed in response to issues that arise during FY 2007.</p> <p>New accountability officials will be trained as needed to replace accountability officials who retire or resign from EH.</p>

# Chapter 2:

## Workforce Hiring-Time Reduction Strategy

---

### INTRODUCTION

#### Senior Executive Service Merit Staff Process

To achieve effective human capital management and succession planning, EH has implemented the new streamline Senior Executive Service (SES) Merit staffing process that is an 82 day calendar day model. The model covers the hiring process including the time from the close of a vacancy announcement to when an offer is made. Applied in conjunction with workforce planning goals and leadership commitment, this model is a new level of hiring effectiveness.

It is the objective of EH to;

- Energize its leadership to focus on making all steps in the hiring process flexible, fast, and results-oriented
- Assure that its Human Resource organization has the skill and tools necessary to operate an effective hiring process
- Strengthen measurement and monitoring of the time it takes to hire
- Have a regular, auditable system for collecting and analyzing data on the stages of the hiring process
- Demonstrate significant and ongoing progress toward the goal of 82 days (or less) for SES positions

#### Personnel Action Tracking System (SF-52)

EH continues to use their developed Hiring Action Tracking Checklist to gather in one place, data about all recruiting actions resulting in an appointment. The data collected and made accessible through this form include the recruit's name; SF-52 number; action requested; routing symbol; position title; pay plan, occupational series, salary, and grade; duty location; date received by personnel office; announcement opening date; announcement closing date; date merit certificate issued; date DEU certificate issued; date the program office makes a selection; and date a job offer is made.

## SCORECARD SUMMARY

Workforce Hiring-Time Reduction Strategy	
Milestones/Activities	Results and Projections
<p>Review current EH's Human Resources (HR) hiring process and historical timeframes.</p> <p>Develop timeline to meet 82 day hiring goals for SES positions.</p> <p>Use auditable systems for collecting and analyzing data.</p> <p>Use Corporate Human Resource Information System (CHRIS) database and the SF-52 online tracking system on recruitment actions that result in a hiring action to track status of hiring process for new hires (SES and non-SES) Hiring actions will be reviewed regularly to determine whether the appropriate timelines are being followed. Delay in the process will be documented with the reason why.</p> <p>Train appropriate staff to enter data into SF-52 online tracking system.</p> <p>Adapt new streamline SES Merit staffing process for SES positions for EH.</p> <p>Use current guidelines for hiring of non-SES positions.</p> <p>Tracking of SES recruitment actions currently underway.</p>	<p><b>Results for 2006</b></p> <p>EH has adopted new SES Merit staff process for hiring SES positions. A timeline was distributed to appropriate staff.</p> <p>EH continues to use the Hiring Action Tracking Checklist to gather in one place, data about all recruiting actions resulting in an appointment.</p> <p>The CHRIS database and SF-52 online tracking system were used on recruitment actions to track the status of the hiring process for new hires (SES and non-SES). Hiring actions were reviewed regularly to determine whether the appropriate timelines are being followed. EH has trained appropriate staff for data entry into the SF-52 and implemented the tracking process.</p> <p>EH's Hiring Model tracks 27 working days in which hiring actions must be completed by EH staff. EH completed all hiring and promotion actions within 27 days with 80% accuracy.</p> <p><b>Critical Positions goals were:</b></p> <ul style="list-style-type: none"> <li>• General Engineer, EH-31 - filled 8/20/06</li> <li>• Health Systems Specialist, 671-14</li> <li>• Management Analyst, GS 343-14</li> </ul> <p><b>Non-Critical Positions goals were:</b></p> <ul style="list-style-type: none"> <li>• Program Analyst, 343-11</li> <li>• Program Analyst, GS-343-12/13</li> <li>• (2) Administrative Specialist, GS-301-9/11</li> <li>• Budget Technician, GS-561-7</li> <li>• Secretary, GS-318-8</li> </ul> <p>An External Affairs Advisor, GS-301-15 position was eliminated.</p>

<b>Workforce Hiring-Time Reduction Strategy</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
	<p>The following Critical Recruit actions from Quarters 1 and 2 were nullified due to positions transferred to the National Nuclear Security Administration.:</p> <ul style="list-style-type: none"> <li>• Director, Office of Nuclear Safety Research, ES-840-00</li> <li>• Sr. Nuclear Safety Engineer, EK-840-V</li> <li>• Sr. Nuclear Safety Research Adv., EK-840-V</li> <li>• General Engineer, GS-801-15</li> <li>• Nuclear Engineer, GS-840-15</li> </ul> <p>EH filled eight mission critical positions in FY 2006, including a Deputy Assistant Secretary for Corporate Performance Assessment, a Budget Analyst to lead the Office of Budget and Financial Management. Recruited two non-critical, and filled/promoted 10 positions thru internal action.</p> <p style="text-align: center;"><b>Projection for 2007</b></p> <p>EH will continue to monitor the hiring process using the SF-52 online tracking system and identify areas for improvement.</p>

# **Chapter 3:**

## **Mission-Critical-Skills Gap-Reduction Plan**

---

### **INTRODUCTION**

#### **Critical-Skill-Gap Identification**

Numerous measures can be used to reduce the gaps between the skills exhibited by employees and the skills they require to excel in their jobs. It is very important to reduce skill gaps in the most mission-critical areas. Completion of skill-gap analysis for all mission functions is an essential part of EH's workforce planning process and is continually monitored during the quarterly workforce plan review process. As a part of this process, EH analyzes the critical occupations present in its organization and uses competitive sourcing and E-Government solutions in its efforts to reduce skill gaps.

The critical Skills Gap spreadsheet was updated to reflect milestones for all quarters in FY 2006 (reducing skills gaps through re-certification, training, reorganizing and hiring of personnel). Through the skill gap analysis, critical-skills gap projections were also made to year 2012

As part of the critical-skill gap identification, EH identified three organizational skills as mission critical:

- Engineer
- Environmental Protection Specialist
- Occupational Safety and Health Manager

#### **Recruitment Plan**

EH uses three strategies to significantly reduce skill gaps in mission-critical occupations:

- Developing achievable programs for attracting talent
- Restructuring positions from job series that are no longer needed to carry out EH work

#### **Certification Needs Process**

Certification plays an important role in ensuring that personnel know and perform their jobs properly, safely, and completely. Management has several tools available to it to assure that employees have adequate training and certification to perform their jobs. Among those tools are surveying the workforce and its job descriptions to identify positions that require or would benefit from certification, scheduling certification training for those needing it, and tracking the status of certification of all employees holding certificates.

#### **Competitive Sourcing**

Whenever practicable, EH uses competition to encourage improvements in operations with the objective of enhancing quality, economy, and performance by following the provisions of Office of Management and Budget (OMB) Circular A-76 and other appropriate regulations and internal directives in conducting its competitions. In carrying out this process, EH considers and ensures that the Department's and Office's overall mission requirements and strategic objectives are met. All competitions are conducted in a fair, responsible, and equitable manner, providing all players with a level and objective playing field and ensuring that no foregone conclusions will dictate the outcome



of any competition. EH strives to ensure that government personnel, customers, and key stakeholders are kept apprised of its competitive sourcing actions and decisions as it employs a defensible, repeatable methodology for identifying potential competitions, nominating potential competition candidates, analyzing nominated candidates for competition feasibility, executing competitions, and implementing the results.

### **E-Government**

The Department of Energy has a strategic vision for transforming the enterprise through E-Government by unifying core applications through a secure environment and simplifying access to energy-related government services. EH shares this vision, supports the initiative, and participates in its implementation. Key elements of the E-Government initiative include developing DOE's enterprise architecture, enhancing the public trust, focusing resources, improving information technology security, enhancing a capital planning and investment control process, addressing the requirements of the Government Paperwork Elimination Act, and managing change.

### **SCORECARD SUMMARY**

<b>Mission-Critical-Skills Gap-Reduction Plan</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
	<b>Results for 2006</b>
Promote the use of automated training systems.	<p>The Skills Gap Matrix was distributed to all DASs, completed, and submitted to Office of Management, Budget and Evaluation (ME). The Critical Skills Gap spreadsheet was updated quarterly with milestones for reducing skills gaps through hiring, recertification, and re-organizing. EH completed the Critical Skills Gap Spreadsheet and addressed ME request to identify EH gaps with projection through FY2012.</p> <p>Discussions were held with ME to address strategies for recruitment; these discussions are on-going.</p> <p>EH filled eight mission critical positions in FY 2006, including:</p> <ul style="list-style-type: none"> <li>• Deputy Assistant Secretary for Corporate Performance Assessment</li> <li>• Budget Analyst to lead the Office of Budget and Financial Management</li> </ul> <p>Recruited two non-critical, and filled/promoted 10 positions thru internal action.</p> <p>EH identified the following three organizational skills as their</p>
Update the Workforce Analysis.	
Recruit for required skills, finding both seasoned and newly graduated technical individuals to ensure EH continuously builds on the expertise required through all phases of the implementation of new programs.	
Assess the organizational climate annually and share results with managers who will be expected to make needed adjustments.	
Implement strategies to address under-representation of minorities and women.	
Continue educational pipelines with links to engineering and scientific universities.	
Fund students and faculty	

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
<p>members from universities to attend the Day of Science event at the Oak Ridge National Laboratory (ORNL).</p> <p>Update the Critical Skill Gap Spreadsheet to correctly identify EH gaps.</p> <p>Distribute skill-gap matrix from ME to all DASs for identification of skill gaps in specified areas.</p> <p>Use three strategies to significantly reduce skill gaps in mission-critical occupations:</p> <ul style="list-style-type: none"> <li>• Develop achievable programs for attracting talent</li> <li>• Restructure positions from job series that are no longer needed to carry out EH work</li> <li>• Recruit for positions that cannot be filled through restructuring actions or other internal personnel actions</li> </ul> <p>Review certification needs for EH personnel for RAD Worker II and HAZWPR.</p> <p>Complete paperwork for positions under recruitment.</p>	<p>top mission critical skills gap to fill:</p> <ul style="list-style-type: none"> <li>• Engineer</li> <li>• Environmental Protection Specialist</li> <li>• Occupational Safety and Health Manager</li> </ul> <p>Progress toward closing the gaps on these three skills are as follows:</p> <ul style="list-style-type: none"> <li>• General Engineer, GS-801-15: Hired in August 2006</li> <li>• Safety Engineer, GS-803-14/15: Announcement posting currently pending</li> <li>• Mechanic Engineer, GS-830-14: Need to fill two positions by the end of FY2007. Planning for recruitment is currently underway.</li> <li>• Environmental Protection Specialist, GS-028-14: Need to fill one position by the end of FY2007. Planning for recruitment is currently underway.</li> <li>• Occupational Safety and Health Manager, GS-018-14/15: Currently finalizing recruitment package</li> </ul> <p>As previously noted, in 2005, EH compiled the list of positions to be included in the buyout for FY 2006 through FY 2007. The buyout plan was approved in 2006 for EH to implement.</p> <p>Utilizing a buyout authorization will result in significant cost-savings, and reflect succession planning.</p> <p>Increased sponsorship of the number of minority students/professors attending the annual Day of Science at Oak Ridge National Laboratory (increased from 8 to 14 attendees). Ten students and 4 professors attended the Day of Science event in October 2005. They included 13 African American and 1 Hispania students/professors (7 males and 7 females) from University of Missouri, Florida A&amp;M, and South Carolina State University. The attendee's disciplines included:</p> <ul style="list-style-type: none"> <li>• Chemistry (3)</li> <li>• Chemistry/Pre-Health (1)</li> <li>• Education (1)</li> <li>• Environmental Science (5)</li> <li>• Industrial Manufacturing (1)</li> <li>• Material Science (1)</li> <li>• Nuclear Engineer (1)</li> <li>• Nuclear Engineer/Civil Engineer Technician (1)</li> </ul> <p>Information about educational opportunities at ORNL were</p>

<b>Mission-Critical-Skills Gap-Reduction Plan</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
	<p>provided to the attendees during the Day of Science event.</p> <p>In 2005, training was identified for those with Project Management or Contract Management skill gaps. In 2006 training was started by:</p> <ul style="list-style-type: none"> <li>• Project Management – Level One employee</li> <li>• Contract Management – Level One employee</li> <li>• IT Project Management – Level One employee</li> </ul> <p>Training has been completed by:</p> <ul style="list-style-type: none"> <li>• IT Project Management – Level One employee</li> <li>• IT Project Management – Level One employee (requirement of position)</li> <li>• IT Project Management – Level One employee (requirement of position)</li> <li>• IT Project Management – Level Two (requirement of position)</li> </ul> <p>Recertification of EH personnel in Radiation Worker II and HAZWPR were completed in July 2005 for a two-year certification period for 10 EH employees. No employees were required to be recertified for 2006.</p> <p>EH promoted the use of automated training systems, such as the DOE Energy Online Learning Center and the DOE Technology Supported Learning Index, via individual IDP/training; and developed Workflow User manuals to assist in the process.</p> <p>The Workforce Analysis was updated through the Critical-Skills Gap Chart.</p> <p>EH assessed the organizational climate and shared results with managers who made needed adjustments.</p> <p>Under the IT Competitive Sourcing Initiative, EH originally had 9 FTE positions included in the IT study. Since the original study, the EH Office of Information Management has reshaped and redefined its tasks. Included in the study now is 4.5 FTE positions at the Radiological and Environmental Sciences Laboratory (RESL) in Idaho. RESL funding is included in the EH-3 budget.</p> <p>E-Government: EH-7 supports the sharing of ES&amp;H training</p>

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
	<p>and other related information through their sponsored DOE Technology Support Learning Index and the Industrial Hygiene/ Occupational Safety Special Interest Group network. Both initiatives maintain Websites through which information is electronically shared:</p> <ul style="list-style-type: none"> <li>• <a href="http://www.ornl.gov/eh/training/tsl_index/tsl_index.htm">http://www.ornl.gov/eh/training/tsl_index/tsl_index.htm</a> (Website averaged 834 hits per month)</li> <li>• <a href="http://www.ornl.gov/ihos/index.htm">http://www.ornl.gov/ihos/index.htm</a> (Website averaged 9,702 hits per month)</li> </ul> <p>E-Government efforts are also used through staff availing themselves of the following electronic systems:</p> <ul style="list-style-type: none"> <li>• Conference Management</li> <li>• DOC's / Correspondence and Action Tracking System(CATS)</li> <li>• DOE INFO for reports</li> <li>• ESS for training, IDPs, ATTAPPS, and skill assessment</li> <li>• FACTS for foreign travel and visit</li> <li>• LMS for online training</li> <li>• Quick Hire</li> <li>• STARS for budget</li> <li>• Travel Manager</li> <li>• User guide for CHRIS</li> </ul> <p style="text-align: center;"><b>Projections for 2007</b></p> <p>EH address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. EH continue to implement buyout authority. These measures all met the objective of PMA. Using a buyout authorization and the restructuring of positions will result in significant cost-savings. EH will continue to share information through the Web at the aforementioned Websites.</p>

# Chapter 4:

## Succession Plan Strategy Implementation

---

### INTRODUCTION

#### Position Upgrades

Position upgrades constitute a retention strategy. Such upgrades are the outcome from a job review and result in a higher grade-level job classification. This change usually results from a change in staff duties caused by office shifts, a decision not to replace a departing employee, or increased office responsibility and is accompanied by a revision to the employee's job description. Position upgrades may result in changes in structure of earnings, training received, and supervisory responsibility.

#### Employee Development Plan

An employee development plan enhances the performance of a management system. An employee development plan should address both short- and long-term career goals and should identify and provide access to the training, education, and learning needed to achieve those goals. Under such a plan, supervisors and employees periodically meet to:

- Discuss the career and personal-learning goals of the employee and the agency
- Identify the learning and resources needed
- Review opportunities for appropriate learning occasions
- Put together a plan to achieve the goals selected

Keys to the success of an employee development plan are information, communication, joint decision making, and willingness to learn.

#### Executive Development Program

Consistent employee promotion and executive skill development is central to effective human resource management. Within that promotion and qualification process, executive development is an important ingredient. It promotes the strategic and methodical competence of managers and is the responsibility of line management.

The advancement of an individual's career resulting from executive development training is beneficial to both the employer and the employee. However, the success of any career-development program for executives is heavily dependent on the individual's willingness to pursue the elements that will provide that person with the experiences needed to develop leadership competencies, even undertaking opportunities that may represent a short-term hardship to one's personal life.

The central instrument of executive development is a periodic and systematic assessment, leading to an individual-oriented development plan that identifies and avoids management-team bottlenecks early on or that corrects such bottlenecks as they develop. This ability to manage a smoothly and efficiently operating organization is developed by providing managers with the skills and experience necessary to overcome the problems they face.

## SCORECARD SUMMARY

Succession Plan Strategy Implementation	
Milestones/Activities	Results and Projections
<p>Ensure that EH management receives the EH Employee Development Plan, has the opportunity to provide input to it, and agrees to participate in its implementation.</p> <p>Distribute the Employee Development Plan to Senior Management to promote.</p> <p>Use the Employee Development Plan to implement succession strategies.</p> <p>Utilize re-grading of positions as a succession-planning strategy to ensure the continuity of function over time.</p>	<p><b>Results for 2006</b></p> <p>The Employee and the DOE Executive Development plans were given to Senior Management to promote at senior-staff meetings and through E-mail messages.</p> <p>Three for candidates for management-level positions will complete their leadership training in September 2006 and will be ready to begin work as staff succession dictates.</p> <p>Ten EH employees have received merit/promotions and/or change of positions to further development/strategies for succession planning</p> <p>The Bench-Strength Report was submitted to ME, identifying areas in which executive development is needed.</p> <p><b>Projection for 2007</b></p> <p>Supervisors will continue to provide information and encouragement to eligible staff to enroll in the DOE Executive Development Program for the executive positions identified in the Bench-Strength Report as needing to be filled.</p>

# Chapter 5:

## Knowledge Management

---

### INTRODUCTION

In the next three years, fully half of the EH workforce will be eligible for immediate retirement. In recognition of the impending loss of facility and nuclear safety knowledge and technical expertise that will result from these retirements, this initiative will: 1) identify mission critical knowledge and the employees who hold it, 2) capture and document that knowledge, and 3) disseminate knowledge for reuse to minimize ‘re-inventing the wheel scenarios’ as well as improve organizational and operational efficiency.

Knowledge management focuses on understanding the knowledge needs of an organization and the sharing and creation of knowledge through communities of practice using technology and Web-enabled tools. Knowledge management is a systematic process of making organizational knowledge accessible and useful to all employees through acquiring, creating, organizing, synthesizing, and sharing information and expertise. There are two major benefits to the organization:

- Improving organizational performance through increased safety, efficiency, productivity, quality and innovation
- Improved personnel succession by providing new employees and leaders with real time access to the knowledge of current and past employees and leadership

The idea of gathering and sharing information is not a novel one to EH personnel. However, existing paper based processes are bumping up against computer age expectations, and budget constraints are limiting the ability of EH personnel to travel and interact with the field. Nevertheless, because of its central position within the Department, EH is still the best organization to capture and disseminate experience from both the field and outside industry. As an independent organization that is not constrained by the day-to-day needs that dictate field activities, EH has the ability to focus efforts on this project.

### **Knowledge Management Program Web Portal**

The Knowledge Management Portal served as the EH Web presence to enhance the sharing of information and knowledge within communities of interest using Knowledge Management tools. The Knowledge Portal was used until April 2006. In compliance with DOE requirements which require all DOE related information to be housed on Websites bearing a doe.gov extension, the 2004-1 Implementation Team’s Knowledge Portal ([www.2004-1.org](http://www.2004-1.org)) was deactivated in April 2006. The 2004-1 Knowledge Portal was designed based upon best practices of successful commercial Knowledge Portals and contained advanced Knowledge Management tools such as discussion forums and FTP protocols not currently permitted on doe.gov sites by the DOE CIO’s office. As such converting [www.2004-1.org](http://www.2004-1.org) to a doe.gov was not feasible. Prior to the shutdown, documents on the 2004-1 Knowledge Portal related to reintegrating Integrated Safety Management and the proposed DOE Safety Oversight Manual were transferred to the EH Website.

## Web-Based Training Resources

Available on the Web ([http://www.ornl.gov/eh/training/TSL\\_Index/tsl\\_index.htm](http://www.ornl.gov/eh/training/TSL_Index/tsl_index.htm)) is a DOE Technology Supported Learning (TSL) Index. This electronic index, sponsored by the DOE Office of Planning and Administration (EH-7), is comprised of technology supported learning courses, briefings, and resources useful to ES&H training professionals. The intent is to share limited resources to ensure the leveraging of funding and the quality of training resources. The developers/originators of these resources include members of the DOE community, national laboratories, contractors, other federal agencies, academia, and the private sector.

Any ES&H electronic training course, briefing, or resource can be considered for inclusion to the DOE TSL Index Website. Each selection received is inventoried for instructional and content elements. These characteristics are then reported and posted in a user-friendly matrix. The completed matrix is posted to the DOE TSL Index and hyperlinks connect the user to the resources that reside on an organization's external Website. A TSL Listserv E-mail message is sent to over 400 safety and health professionals within the DOE community, including DOE safety and health professionals, when a new resource(s) is posted.

The Industrial Hygiene/Occupational Safety Special Interest Group (IH/OS SIG) is a peer-to-peer network of personnel from the DOE and its contractors, subcontractors, and labor involved in occupational safety and health issues. It is sponsored by EH-7. The IH/OS SIG provides participants with tools for the development, enhancement, and/or implementation of programs and training designed to improve worker safety and health by:

- Identifying, selecting, and revising tools for the development, enhancement or implementation of occupational safety and health programs to meet specific needs within the DOE community
- Developing occupational safety and health resources and materials to address specific safety and health needs and priorities of DOE facilities
- Promoting opportunities and providing avenues for IH/OS professionals within the DOE community to develop and extend their occupational safety and health competencies
- Partnering with DOE to develop, distribute, and implement the use of occupational-safety and health guidance materials
- Facilitating the exchange of materials and resources within the DOE community to increase the cost-effectiveness of occupational safety and health programs, information, and training materials

In March 2006, IH/OS SIG made available to DOE and DOE contractors, two new IH/OS SIG products developed at Los Alamos National Laboratory by the Health, Safety, and Radiation Protection Division: *Electrical Lessons* and *Nested—The Nested Safety and Security Committee Process*:

- *Electrical Lessons* examines three electrical safety incidents and their lessons learned. *Electrical Lessons* is the recipient of the 2005 Bronze Telly Award.
- The *Nested—The Nested Safety and Security Committee Process* DVD guides viewers through different elements of the Nested Safety and Security Committee meeting process. This training tool was offered to support organizations throughout the DOE complex as they develop their own safety and security meeting format. *Nested—The Nested Safety and Security Committee Process* is the recipient of two 2005 Aegis Awards.

For both DVDs, instructional materials were made available at: [www.esh.lanl.gov/~video](http://www.esh.lanl.gov/~video). Approximately 150 copies of each of the DVDs were distributed to DOE and DOE contractors.



To promote awareness of nanotechnology safety and health issues, the IH/OS SIG added a new section to their Website at: [http://www.ornl.gov/ihos/Nanotechnology/nanotech\\_home.html](http://www.ornl.gov/ihos/Nanotechnology/nanotech_home.html). Related safety and health information from DOE, DOE facilities, other agencies, and private companies have been included on the new section. Specific topics for the nanotechnology safety and health repository include:

- Government Policy
- Nanotechnology Centers
- Occupational Safety and Health Risks
- Health and Safety Working Groups
- Frequently Asked Questions
- Presentations
- Publications
- Resources
- Upcoming Events

### **EH Website**

The development and improvement of E-Government practices in the federal government and among federal agencies is one of the five key elements of PMA. E-Government is about using technology to its fullest to provide services and information. Information is shared with DOE employees, DOE contractors, and the general public through the DOE EH Website (<http://www.eh.doe.gov/>).

Information about the following offices is included on the Website:

- Corporate Performance Assessment
- Environment
- Facility and Nuclear Safety
- Health
- Planning and Administration
- Price-Anderson Enforcement

In addition, information is also shared through ES&H about:

- ES&H Document Collection
- ES&H Document Notification Service
- ES&H Quick Reference Information
  - Integrated Safety Management
  - 10 CFR 851, Worker Safety and Health Program
  - Commercial and Industry Standards
  - DOE Directives, Regulations, and Standards
  - DOE Technical Standards
  - ES&H Reporting Databases
  - MSDSs
- General Administration and Program News
- General News and Events

Within the ES&H Website is the EH-7 section that includes the following:

- EH Strategic Plan 2003-2006
- EH Policies and Procedures
- HCM efforts
- Professional Development
- Information Management
- Budget and Financial Management
- President's Management Agenda
- Procedures for Correspondence and Action Tracking in EH
- Training Resources:
  - Beryllium Training
  - Course Evaluation
  - DOE TSL Index
  - Energy Online Learning Center
  - CHRIS Workflow
  - Performance Management System Orientation and Policy

As mentioned previously, events of interest are included on the Website. Some events are DOE sponsored while others are not sponsored by DOE but are of interest or benefit to DOE employees. DOE employees can obtain training at some events and/or use attendances to apply toward certification maintenance (CM) points in their professional certification such as being a Certified Industrial Hygienist. One such DOE sponsored event is the Chemical Management Workshop. The Workshop provides a forum for DOE and DOE contractor personnel to identify chemical management -related issues of concern to the DOE. For the March 2006 Chemical Safety Workshop, the American Board of Industrial Hygiene agreed to award up to 3.0 CM points to Certified Industrial Hygienists for attending the workshop to apply toward their CM points in the area of Meetings and Education Programs category.

In 2006 and 2007, ES&H is holding 851 Implementation Worker Safety and Health Program Workshops in several locations in the country to allow both DOE federal and contractor staff to learn about the new Rule, ask questions, and provide assistance in the implementation of 10 CFR 851. At some if not all of these workshops, Industrial Hygienists will be able to claim CM points for attending to apply toward their CM points in the area of Meetings and Education Programs category .

In addition, the EH Website provides online access to a number of Corporate Reporting Databases and data-analysis documents to facilitate access to data on occurrences, accidents, illnesses, exposures, environmental impacts, performance, and compliance. Database access is restricted to authorized DOE staff and contractors. Those databases include the following.

- Comprehensive Epidemiologic Data Resource (CEDR) is a DOE public-use repository of data from occupational and environmental health studies of workers at DOE facilities and nearby community residents
- Computerized Accident/Incident Reporting System (CAIRS) collects and analyzes DOE and DOE-contractor reports of injuries, illnesses, and other accidents that occur during DOE operations

- Correspondence and Action Tracking System (CATS) is used to enter, track, and report the status of corrective actions developed and implemented in the DOE Corrective Action Management Program (CAMP) to effectively resolve and prevent recurrence of reported findings and has a Website that includes guidance for accessing, reviewing and editing the database (access is available through registration)
- Noncompliance Tracking System (NTS) is for DOE contractors to report unsafe actions or conditions that possibly violate nuclear safety requirements for protecting workers and the public (The contractor line management tracks to closure the corrective actions in each report to prevent recurrence. The corrective actions are approved by both DOE field office personnel and investigators in the Office of Price-Anderson Enforcement. Access is granted to DOE personnel who have a "need to know")
- Occurrence Reporting and Processing System (ORPS) provides timely notification to the DOE complex of events that could adversely affect public or DOE worker health and safety, the environment, national security, DOE's safeguards and security interests, functioning of DOE facilities, or the Department's reputation
- Pollution Prevention (P2) site announces P2-related news and developments, as well as providing a convenient on-line reporting system to the DOE sites and program offices
- Radiation Exposure Monitoring System (REMS) database tracks occupational radiation exposures for all monitored DOE employees, contractors, subcontractors and members of the public

## SCORECARD SUMMARY

Knowledge Management	
Milestones/Activities	Results and Projections
<p>Work with EH staff members who serve as coordinators or stewards of communities of interest to create virtual meeting places for their communities.</p> <p>Work with EH communities of interest to identify typical discussion areas for forums, questions, and resolution of issues.</p> <p>Use Knowledge Management Principles and tools to assist accomplishing DOE initiatives.</p>	<p><b>Results for 2006</b></p> <p>The Knowledge Management Portal served as the EH Web presence to enhance the sharing of information and knowledge within communities of interest using Knowledge Management tools. The Knowledge Portal was used until April 2006. In compliance with DOE requirements which require all DOE related information to be housed on Websites bearing a doe.gov extension, the 2004-1 Implementation Team's Knowledge Portal (<a href="http://www.2004-1.org">www.2004-1.org</a>) was deactivated in April 2006. The 2004-1 Knowledge Portal was designed based upon best practices of successful commercial Knowledge Portals and contained advanced Knowledge Management tools such as discussion forums and FTP protocols not currently permitted on doe.gov sites by the DOE CIO's office. As such converting <a href="http://www.2004-1.org">www.2004-1.org</a> to a doe.gov was not feasible. Prior to the shutdown, documents on the 2004-1 Knowledge Portal related to reintegrating Integrated Safety Management and the proposed DOE Safety Oversight Manual were transferred to the EH Website.</p> <p>In addition, the following sites shared knowledge that was of interest to ES&amp;H professionals:</p> <ul style="list-style-type: none"> <li>• <a href="http://www.eh.doe.gov/">http://www.eh.doe.gov/</a></li> <li>• <a href="http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm">http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm</a> (From October 2005 - July 31, 2006, Website averaged 834 hits per month)</li> <li>• <a href="http://www.ornl.gov/ihos/index.htm">http://www.ornl.gov/ihos/index.htm</a> (From October 2005 - July 31, 2006, Website averaged 9,702 hits per month)</li> </ul>

Knowledge Management	
Milestones/Activities	Results and Projections
	<p>To promote awareness of nanotechnology safety and health issues, the IH/OS SIG added a new section to their Website at: <a href="http://www.ornl.gov/ihos/Nanotechnology/nanotech_home.html">http://www.ornl.gov/ihos/Nanotechnology/nanotech_home.html</a>. Related safety and health information from DOE, DOE facilities, other agencies, and private companies have been included on the new section. Specific topics for the nanotechnology safety and health repository include:</p> <ul style="list-style-type: none"> <li>• Government Policy</li> <li>• Nanotechnology Centers</li> <li>• Occupational Safety and Health Risks</li> <li>• Health and Safety Working Groups</li> <li>• Frequently Asked Questions</li> <li>• Presentations</li> <li>• Publications</li> <li>• Resource</li> <li>• Upcoming Events</li> </ul> <p>The EH Website is currently being revamped and redesigned to meet the E-Government format requirements.</p> <p style="text-align: center;"><b>Projection for 2007</b></p> <p>Data will continue to be shared through the following electronic systems :</p> <ul style="list-style-type: none"> <li>• DOE EH (<a href="http://www.eh.doe.gov/">http://www.eh.doe.gov/</a>)</li> <li>• DOE TSL Index Website (<a href="http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm">http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm</a>)</li> <li>• IH/OS SIG Website (<a href="http://www.ornl.gov/ihos/index.htm">http://www.ornl.gov/ihos/index.htm</a> )</li> </ul> <p>EH will comply with DOE.gov templates and guidelines for their existing Website in compliance with the presidential mandate on E-Government.</p> <p>ES&amp;H will continue to hold workshops such as the Chemical Safety Workshop and 851 Implementation Worker Safety and Health Program Workshops to allow both DOE federal and contractor staff to learn about the Chemical Safety and the 10 CFR 851 Rule.</p>

# Chapter 6:

## Workforce and Workplace Diversity

---

### INTRODUCTION

#### Workforce Diversity for Women and Minority

EH is committed to developing strategies that will maximize opportunities for all citizens of the United States to access and actively participate in employment. Its Workplace Diversity Strategy focuses on capturing skills. Its goal is to attract, develop, and retain staff of the highest quality, and to provide a working environment that will enable staff members to maximize their contributions to the achievement of the DOE and EH missions. The strategy has several focuses:

- Minority student recruitment
- Minority workforce recruitment
- Under-representation of Hispanic population in the workforce
- Under-representation of women in the workforce
- Assess the number of minorities in positions at different levels in the workforce
- Maintain diversity among those holding mission-critical occupations and leadership positions

This strategy is a vehicle for identifying employment priorities and maximizing performance by tapping the diversity of the national community. This strategy supports President Bush July, 2001 Executive Order (E.O.) 13171 (Hispanic Federal Employment) that calls for Executive Departments and Agencies to “... *establish and maintain a program for the recruitment and career development of Hispanics in Federal employment. In its program, each agency shall provide a plan for recruiting Hispanics that creates a fully diverse workforce for the agency in the 21st century...*”<sup>1</sup>

### SCORECARD SUMMARY

Workforce and Workplace Diversity	
Milestones/Activities	Results and Projections
Identify mission-critical occupations and leadership positions; focus on those where minorities and women are under-represented; identify EH components with planned recruitment actions and attritions for 2006 including retirements; commence workforce reshaping efforts and redesign initiatives to meet work-smart objectives.	<p><b>Results for 2006</b></p> <p>Mission-critical occupations and leadership positions were identified, focusing on those where minorities are underrepresented; EH components with planned recruitment actions and attritions for 2006 including retirements were identified; commerce workforce reshaping efforts and redesign initiatives were carried out to meet work-smart objectives.</p> <p>No minority candidates were recruited for rotational assignments for the Leadership Development Program, and no one is in a rotational assignment. No minority EH staff expressed an interest in the Technical Leadership Development Program.</p>

<b>Workforce and Workplace Diversity</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
<p>Fund participants for the Day of Science at ORNL in Oak Ridge, Tennessee. (This event gives students a chance to learn about some of the laboratory's most exciting research projects and meet many of the scientific staff who serve as mentors in the internship programs.)</p> <p>Plan activities to improve and sustain diversity.</p> <p>Review qualification requirements of minority applicants for critical occupations currently under-represented</p> <p>Identify minority candidates enrolled in Technical Leadership Development Program</p> <p>Review CHRIS employee data to identify potential participant pool; focus on candidates' knowledge and experience gaps.</p> <p>Approve Individual Development Plans.</p> <p>Hire minority interns for administrative positions.</p> <p>Identify and select minority interns; recruit minority candidates for rotational assignments for The Leadership Development Program.</p>	<p>Three minority Interns (two Hispanic and one African American) made up of two females and one male were recruited.</p> <p>Ten students and 4 faculty members attended the Day of Science event on October 10, 2005. They included 13 African American and 1 Hispanic students/faculty member (7 males and 7 females) from University of Missouri, Florida A&amp;M, and South Carolina State University. Information about educational opportunities at ORNL was provided to the attendees. This event provides participants an opportunity to explore cutting-edge scientific research conducted at ORNL; to meet and talk with lab representatives about opportunities for paid internships, co-op positions, and full time positions; and to meet and talk to top scientist about their research and opportunities for collaboration.</p> <p>EH participated in DOE's Katrina Relief Program by providing college assistance to one female minority student from Louisiana.</p> <p>Activities have been implemented that will provide EH with the information and the means for establishing processes to improve and sustain diversity.</p> <ul style="list-style-type: none"> <li>• Hispanic Recruitment Program Plan has been finalized and implemented</li> <li>• Funds were increased for the FY 2006 Science Day for the future employment pool from minority institutions</li> <li>• EH will review qualification requirements of minority applicants for critical occupations currently under-represented</li> <li>• EH has a staff member serving on the DOE Hispanic Requirement Initiative Team</li> <li>• A meeting was held with the EH-supporting contractor on expanding participation of minorities and women in the Day of Science at ORNL for FY2007</li> </ul> <p>EH will review employee data to identify potential participant pool; focus on candidates' knowledge and experience gaps.</p>

<b>Workforce and Workplace Diversity</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
	<p><b>Projection for 2007</b></p> <p>In 2005, training was identified for those with Project Management or Contract Management skill gaps. In 2006 training was started by three employees that will be completed in 2007. Will continue to promote employment initiatives for the underrepresented minority and female workforce population.</p>



# **Chapter 7:**

## **Analysis and Optimization of Organizational Structure**

---

### **INTRODUCTION**

#### **Technician Positions Restructuring Review**

In 2005, the Technician Positions Restructuring Review was conducted by EH managers/supervisors to determine what skill gaps exist in technical areas and which positions needed to be restructured. EH identified 33 positions for a potential buyout in FY 2006. Of the 33 positions, EH planned to restructure 27 technical positions to different series and lowered grades levels to continue its efforts in succession planning. In 2006, the request for approval to offer the Voluntary Separation Incentive Pay was approved by the OMB which EH is currently implementing. EH's FY-06 Human Capital Management Plan reflects that EH management has identified a total of 27 technical positions to be restructured to lower graded positions and different job series due to shifting skill mix needs and forecasted workloads. Utilizing a buyout authorization and the re-grading of positions will result in significant cost-savings, and reflect succession planning.

#### **EH Worker Advocacy Staff Redeployment, Realignment, and Reassignment**

The purpose of the Office of Worker Advocacy was to implement Subpart D of the Energy Employees Occupational Illness Compensation Program Act of 2000 (EEOICPA) and provide information to the Department of Labor (DOL) and the Department of Health and Human Services (DHS) for their agency, the National Institute for Occupational Safety and Health to support their activities within the EEOICPA. Administration of the EEOICPA is primarily the responsibility of DOL. DOL is supported in its role with assistance from DOE, DHS, and the Department of Justice. Starting in 2005 and continuing into 2006, EH transitioned Worker Advocacy staff and assisted them in qualifying for new job series through detail assignments.

## SCORECARD SUMMARY

Analysis and Optimization of Organizational Structure	
Milestones/Activities	Results and Projections
<p>Carry out ongoing monitoring and assessment; restructure the EH organization to respond to Defense Nuclear Facilities Safety Board (DNFSB) Rec. 2004-1.</p> <p>Continue efforts in corporate performance assessment and benchmark with outside organizations to determine cost savings.</p> <p>Review current jobs and tasks in each EH office for competitive sourcing opportunities.</p> <p>Seek opportunities to use E-Government solutions to enhance efficiency and decrease cost.</p> <p>Identify at least one activity that will promote EH's commitment to using E-Government solutions.</p> <p>Reclassify and restructure positions based on retirements and forecasted workloads that have created a need for new skill mixes for some offices.</p> <p>Offer a buyout to those position series that are no longer needed to support EH work.</p> <p>Positions eligible for buyout identified and documented by EH management.</p>	<p><b>Results for 2006</b></p> <p>Restructuring of the EH organization to respond to DNFSB Rec. 2004-1 began in November 2004 which continued into 2006. In response to DNFSB Rec. 2004-1, the new Office of Nuclear Safety Research, EH-33, was established; staff were redeployed/detailed to this new office.</p> <p>EH continues its efforts in corporate performance assessment and benchmarks with outside organizations to determine cost savings.</p> <p>Each office in EH has reviewed current jobs and tasks for competitive-sourcing opportunities.</p> <p>User guide for CHRIS was made available through the EH-7 Website and included:</p> <ul style="list-style-type: none"> <li>• Employee Workflow Profile</li> <li>• Supervisor and DAS Workflow Profile</li> <li>• Training Request</li> <li>• Worklist Approval Process</li> </ul> <p>Add to the EH Web site, Performance Management System Orientation and Policy.</p> <p>EH continues to offer effective online training in order to reduce skills-gaps. This will reduce training cost by 10 percent.</p> <p>In 2005, EH compiled the list of positions to be included in the buyout for FY 2006 through FY 2007. The buyout plan was approved in 2006 which EH is currently implementing with an estimated cost savings of \$627,397 on the basis of personnel-termination costs.</p> <p>EH received approval to offer the VERA Plan. These measures meet the objectives of the PMA. Through the VERA offer, staff in five mid-level positions retired resulting in an estimates cost saving of \$346,000.</p>

<b>Analysis and Optimization of Organizational Structure</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
<p>Process VERA and Voluntary Separation Incentive Program (VSIP) actions; provide retraining to reassigned employees, as needed.</p>	<p><b>Projections for 2007</b></p> <p>EH will continue to use competitive sources, E-Government solutions, reassignment, and reclassification of positions as needed to fulfill mission requirements while remaining within budgetary constraints.</p> <p>Continue to implement the approved buyout for FY 2006 through FY 2007.</p> <p>Continue to identify initiatives that will promote EH's commitment to using E-Government solutions.</p>

# Chapter 8:

## Performance Appraisals

---

### INTRODUCTION

The DOE Performance Appraisal System identifies meaningful performance distinctions among the Department's managers and supervisors, incorporates strategic plans and mission objectives with accountability for achieving such objectives into the performance plans of managers and supervisors, and provides substantial financial rewards commensurate with top performance. It covers DOE managers and supervisors in grade or salary levels below the Senior Executive Service, managers and supervisors appointed in the Excepted Service, and managers and supervisors under other pay systems or types of appointments who have been extended coverage by their departmental elements.

Performance plans for managers and supervisors must be established and in place no later than 30 days from the beginning of the performance appraisal period. At least one progress review must be conducted annually, generally around the midpoint of the performance-appraisal period. The minimum performance appraisal period is 90 calendar days. Recognition and rewards must be provided to employees whose performance so warrants. Assistance must be provided to employees in improving unacceptable performance. Action must be taken to reassign, reduce in grade, or remove employees who continue to have unacceptable performance, but only after an opportunity to demonstrate acceptable performance.

### Guidelines and Training Materials

The following guidance documents were received to aid in completion of performance appraisals:

- DOE O 331.1B, Employee Performance Management System
- ME Guidance Document
- DOE Headquarters Performance Management Program Implementation Plan

### Supervisory Training

A new supervisor training video, Performance Management for Supervisors, was provided by Management, Budget, and Evaluation. It is used once a year to refresh supervisor training and is also used in supervisory training as part of the New Leadership Program.

## SCORECARD SUMMARY

Performance Appraisals	
Milestones/Activities	Results and Projections
<p>Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60 percent of the EH workforce.</p> <p>Review the number and amount of employee awards provided by each EH internal organization.</p> <p>Review of appraisal/reward statistics for FY 2006.</p> <p>Work with EH management, Human Resources, and the employee union to develop policy for monetary awards related to level of performance.</p> <p>Train appropriate EH personnel in performance review and appraisal process and procedures.</p> <p>Carry out mid-year progress reviews for Performance Appraisals and document the appraisals.</p> <p>Ensure that employees in certification programs and leadership development programs are progressing as expected.</p> <p>Document progress issues and discuss them with employees.</p> <p>Complete final performance review s and individual-development plans on schedule.</p>	<p><b>Results for 2006</b></p> <p>All Managers and Supervisors completed Performance Appraisal training requirements.</p> <p>Ninety percent of EH employees received performance awards.</p> <p>One EH employee was nominated for a Presidential Rank Award for Meritorious Service Award.</p> <p>The mid-year progress reviews were completed and performance/progress issues were documented and discussed with employees.</p> <p>EH supervisors ensured that employees in certification programs and leadership development programs are progressing as expected. Final progress reviews and individual-development plans were discussed with employees, and the accomplishment of the task was documented.</p> <p><b>Projection for 2007</b></p> <p>EH will train new or replacement supervisors on the new performance management system, as needed.</p>

# Chapter 9:

## HCM Plan and Related EH Future Budgetary Needs

---

### INTRODUCTION

The FY 2007 budget request identified program goals, objectives, and milestones that mirror those addressed in the EH Workforce Plan. The FY 2007 Budget Request specified sufficient resources to implement the EH human capital strategy and Workforce Plan, including resources for individual development plans, outreach, recruitment activities, and hiring.

Achieving these programs requires a highly skilled, well-qualified workforce. The EH current workforce analysis identifies some skills gaps in leadership positions and mission-critical occupations, and these pose some risk to the successful completion of key programs. This risk is mitigated by the EH Workforce Plan, which includes management actions that can close skills gaps to guarantee the staffing of mission-critical areas and continued implementation of detailed succession plan.

### SCORECARD SUMMARY

<b>HCM Plan and Related EH Future Budgetary Needs</b>	
<b>Milestones/Activities</b>	<b>Results and Projections</b>
<p>Compile training and development needs for FY 2006</p> <p>Identify employees who have completed certification programs.</p> <p>Determine the future needs for certification program participants and leadership development program participants.</p> <p>Determine where skills gaps exist.</p> <p>Develop plan for addressing anticipated skills gaps.</p> <p>Prepare supervisors to discuss with employees (during quarterly progress reviews for performance appraisals) their participation in certification programs and leadership development programs</p> <p>Review needed funding allocations</p>	<p><b>Results for 2006</b></p> <p>As a policy and guidance organization, EH does not have a Program Plan and therefore has no specific Government Performance Review Act or outcome measures. However, EH does use its HCM plan in the development of its budgetary submissions.</p> <p>In terms of the actions and milestones of this policy and guidance organization ,</p> <ul style="list-style-type: none"> <li>• An Individual Development Plan (IDP) call was issued. IDPs were collected, and training and development funding needs were compiled into the Annual Training Report for FY 2006 training needs.</li> <li>• The budget request for FY 2007 was submitted on February 1, 2006, and based on data from the OMB decision.</li> <li>• Strategies that were listed as a part of the HCM Plan and information from skill gaps analysis were used to justify the Program Direction funding request.</li> </ul> <p>In 2005, EH compiled the list of positions to be included in the buyout for FY 2006 through FY 2007. The buyout plan was approved in 2006 which EH has started to implement.</p>

<p>for training activities.</p> <p>Identify program goals, objectives, and milestones identified in the EH Strategic Plan and identify the human capital resources needed to carry out the EH work.</p> <p>Compile a list of personnel actions needed to obtain the correct mix of skills for carrying out the EH work, including buyouts, recruitment activities, hiring, and internal personnel shifts.</p> <p>In 2005, Skill Gap analysis by DASs to determine needed skills and positions targeted for buyout. DASs also determined the need for various positions that needed to be restructured and implement succession planning via lower grade levels A list of staff positions no longer needed and the costs associated with eliminating those positions through buyout were included in the buyout proposal.</p>	<p style="text-align: center;"><b>Projection for 2007</b></p> <p>The EH strategic plan and workforce analysis documents will be reviewed, and a budget request will be based on that review.</p>
--	--

## **Chapter 10:**

### **Conclusion**

---

To achieve its human capital management strategy, EH will continue to recruit, retain, and develop a well-qualified workforce with a strong commitment to reducing under-representation of women and minorities and a goal to shift to a younger, less senior demographic to ensure the strongest possible leadership talent pool. Using this Workforce Plan as a guide, EH will look for restructuring improvements. EH is committed to maintaining an up-to-date Workforce Plan to address future skills needs, acknowledging that changes in funding, internal and external direction, or political environment may impact current plans. The EH vision is to build, sustain, and effectively deploy the skilled, knowledgeable, and high-performing workforce needed to meet current and emerging goals.



# Appendix A:

## Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarters 1 and 2 Results Submission

---

### Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This EH Human Capital Management (HCM) Scorecard provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this document.

Quarters 1 and 2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Integrate HCM Plan into decision-making processes</b> <ul style="list-style-type: none"> <li>Plan linked to DOE mission, strategy, and goals</li> <li>Designates accountable officials</li> </ul>	Continue to provide staff briefings on a regular basis or as needed based on circumstances	
<b>Results:</b>		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Demonstrate improvement in meeting hiring-time goals</b> <ul style="list-style-type: none"> <li>have auditable system for collecting &amp; analyzing hiring data</li> </ul>	<p>Track current hiring actions using SF-52 Tracking System</p> <p>Goal: Recruit actions for FY-06 2<sup>nd</sup> quarter:</p> <ul style="list-style-type: none"> <li>Supervisory Management Analyst, GS-343-15 (position to be re-advertised this quarter or 3rd quarter)</li> <li>General Engineer, GS-801-14/15</li> <li>Program Analyst, GS-343-12/13</li> <li>Administrative Assistant, GS-301-9/11</li> <li>Budget Technical, GS-561-7</li> <li>Secretary, GS-318-8</li> </ul> <p>Goal: Critical Recruit actions for FY-06 3<sup>rd</sup> quarter:</p> <ul style="list-style-type: none"> <li>Director, Office of Nuclear Safety Research, ES-840-00</li> <li>Sr. Nuclear Safety Engineer, EK-840-V</li> <li>Sr. Nuclear Safety Research Adv., EK-840-V</li> <li>General Engineer, GS-801-15</li> <li>Nuclear Engineer, GS-840-15</li> <li>Program Analyst, GS-343-14</li> <li>External Affairs Advisor, GS-301-15</li> <li>Administrative Specialist, GS-301-09/11</li> </ul>	<p>EH's Hiring Model tracks 27 working days in which hiring actions must be completed by EH staff.</p> <p>In this quarter, EH completed all hiring actions within 27 days with 80% accuracy.</p> <p>Critical Positions filled in FY-06 1<sup>st</sup> Quarter:</p> <ul style="list-style-type: none"> <li>Budget Analyst, GS-560 14/15</li> <li>Medical Officer, GS-602-15</li> <li>Supervisory Health System Administrator, GS-670-15</li> </ul> <p>Non- Critical Positions filled in FY-06 1<sup>st</sup> Quarter:</p> <ul style="list-style-type: none"> <li>Environmental Protection Specialist, GS-028 14 (2 positions)</li> <li>Management Analyst, GS-343-14</li> </ul> <p>Critical Positions filled FY-06 2<sup>nd</sup> Quarter:</p> <ul style="list-style-type: none"> <li>Deputy Assistant Secretary for Corporate Performance Assessment, ES-340</li> <li>Health System Specialist, GS-671-14/15</li> <li>Safety &amp; Occupational Health Manager, GS-018-15</li> <li>Management Analyst, GS-343-11/12</li> </ul>
<b>Results:</b> EH filled 4 mission critical positions in the second quarter of FY 2006, including a Deputy Assistant Secretary for Corporate Performance Assessment and a Budget Analyst to lead the Office of Budget and Financial Management.		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Significantly reduce skills gaps in mission-critical occupations</b> <ul style="list-style-type: none"> <li>• identify mission-critical skills, needs, no. available, &amp; gaps</li> <li>• address certification needs by level for project managers, contract, and information technology managers</li> <li>• develop strategies to create workplace that attracts talent</li> <li>• integrate the results of competitive sourcing &amp; E-Government</li> </ul>	Update skill gaps spreadsheet based on the re-certification, training, reorganizing & hiring of personnel.	Results: Critical skill gap spreadsheet attached
<b>Results:</b> The Critical Skills Gap spreadsheet has been updated to reflect milestones in the out quarters for reducing skills gaps through re-certification, training, reorganizing & hiring of personnel (see attached spreadsheet).		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Implement succession strategies</b> <ul style="list-style-type: none"> <li>- include executive development programs</li> <li>- result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge</li> </ul>	<p>EH currently has a qualified leadership talent pool of approximately 18 GS-15 individuals. EH will recruit and select individuals at the GS-13 and 14 levels for the executive development program based on the results of the buyout.</p> <p>Utilize re-grading of positions as a succession planning strategy by adding lower graded staff members to ensure continuity of function over time.</p>	<p>One candidate was identified in the 1<sup>st</sup> quarter of FY 2006 for the Executive Development Program and a second candidate has been identified in this second quarter of FY 2006.</p> <p>The first quarter candidate is scheduled to complete the program in the second quarter and the second candidate will complete the program in the third quarter.</p>
<b>Results</b> Candidates for management-level positions are trained and ready to begin work as staff succession dictates		

Quarters 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Link Knowledge Management effort to DOE portal</b>	Continue to enhance EH Knowledge Management Portal and develop Assessment Manual Portal	
<b>Results:</b>		
Quarters 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Implement strategies to address under-representation of minorities</b> <ul style="list-style-type: none"> <li>particularly in mission-critical occupations &amp; leadership</li> <li>establish processes to improve and sustain diversity</li> </ul>	<p>Identify and select minority interns; recruit minority candidates for rotational assignments for The Leadership Development Program.</p> <p>Participate in DOE-sponsored activities to promote minorities in science and technical education and in recruiting minorities.</p> <p>EH will sponsor 2 minority students for the Student Diversity Partnership Program (SDPP) and will continue sponsorship of the Katrina Relief program student under SDPP.</p> <p>EH has drafted a Standard Operating Procedure (SOP) Manual designed to assist EH managers in recruiting and hiring a diverse workforce. This SOP will assist EH managers in implementing EH's Hispanic Employment Plan, issued on October 15, 2004. The manual is currently under review by union representatives.</p>	<p>Funds have been obligated for 10 students and four professors from the HBCUs Florida A&amp;M University and South Carolina State University and the University of Missouri to attend the Day of Science in Oak Ridge. The student disciplines were as follows:</p> <ul style="list-style-type: none"> <li>Environmental Sciences 3</li> <li>Chemistry 3</li> <li>Chemistry/Pre-Health 1</li> <li>Nuclear Engineer/Civil 1</li> <li>Ind. Manuf. Engineer 1</li> <li>Education 1</li> </ul> <p>Nathan Spruill of EH is serving on DOE's Hispanic Requirement Initiative team.</p> <p>EH participated in DOE's Katrina Relief program by providing college assistance to one minority student from Louisiana.</p>
<b>Results</b> EH is making significant strides in increasing minority representation in its organization, with a greater emphasis on recruiting Hispanic employees.		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Analyze &amp; optimize organizational structures for service and cost</b> <ul style="list-style-type: none"> <li>• use redeployment &amp; de-layering as necessary</li> <li>• integrate competitive sourcing &amp; E-Government solutions</li> <li>• put processes in place to address future needs for change</li> </ul>	<p>The request for approval to offer the Voluntary Separation Incentive Pay is currently pending the Office of Management and Budget approval.</p>	<p>EH continues to address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. On November 10, 2005, EH received approval to offer the Voluntary Early Retirement (VERA) through September 30, 2006. Since that time four employees have retired using the VERA:</p> <ul style="list-style-type: none"> <li>• Budget Analyst, GS-560-15</li> <li>• External Affairs Advisor, GS-301-15</li> <li>• Industrial Hygienist, GS-690-15</li> <li>• Electrical Engineer, GS-850-14</li> </ul> <p>These measures meet the objective of the PMA by reducing the number of mid-level positions by four (4).</p> <p>The request for approval to offer the Voluntary Separation Incentive Pay is currently pending the Office of Management and Budget approval. Once approval has been granted, EH's FY-06 Human Capital Management Plan will reflect that EH management has identified a total of 27 technical positions to be restructured to lower graded positions and different job series due to shifting skill mix needs and forecasted workloads. This measure meets the objective of the PMA by reducing the number of SES (2), reducing management layers (elimination of Team Leader positions) and improving spans of control. Utilizing a buyout authorization and the re-grading of positions will result in significant cost-savings, and reflect succession planning.</p>
<b>Results</b> In response to DNFSB 2004-1, the new Office of Nuclear Safety Research, EH-33 was established; one GS-343-14 was redeployed from the former EH-8 Office and three employees detailed to this new Office.		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the EH workforce</b> <ul style="list-style-type: none"> <li>differentiate between various levels of performance</li> <li>provide consequences based on performance</li> </ul>	<p>Complete final performance reviews and individual development plans on schedule</p> <p>EH will continue to train new or replacement supervisors on the new performance management system as needed.</p>	<p>By the end of this quarter all mid-year reviews and performance/progress issues will be documented and discussed.</p> <p>All managers and supervisors have been notified of impending deadlines.</p> <p>Completed first 90 day review.</p> <p>Completed training for all 21 EH supervisors on the new performance management system for non-supervisory employees. Ninety percent of EH employees received performance awards. EH has established training sessions for EH DASs, managers and supervisors in performance review and appraisal requirements and procedures.</p> <p>All Managers and Supervisors completed required Performance Appraisal training requirements.</p>
<b>Results</b> One EH employee was nominated for a Presidential Rank Award for Meritorious Service Award.		

Quarter 1-2		
Requirements for HCM Plan	Strategy/Activities	1 <sup>st</sup> & 2 <sup>nd</sup> Quarter Milestone(s)
<b>Use outcome measures to make HC decisions</b> <ul style="list-style-type: none"> <li>link HCM Plan to Program Plan(s) and FY07 Budget</li> </ul>	<p>Continue to use skills gaps analysis, organizational restructuring, and training needs to develop FY07 funding request.</p> <p>Continue to process VERA and VSIP actions; provide re-training as needed to reassigned employees</p> <p>EH will continue to utilize redeployment, realignment and reorganizing as necessary to achieve optimal organizational effectiveness. These efforts will allow EH to avoid costs of reduction in force (RIF).</p>	<p>EH will offer cost-effective online training in order to reduce skill-gaps. This will reduce training costs by approximately 10%.</p> <p>EH processed 4 VERAs in this quarter resulting in an estimated savings of \$346,000 for the year.</p>
<b>Results</b> HCM actions have resulted in significant savings in the EH budget this year.		

# Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard

FY 2006

## Attachment 1 of 2 for Quarters 1 and 2 Submission

### EH HCM Plan Cycle

Timeline	Strategy	Activities
September	<p>Final progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Supervisors</li> <li>EH Employees</li> <li>EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>Determine performance rewards.</li> <li>Identify employees for leadership development candidacy.</li> <li>Review leadership development participants' progress.</li> <li>Review technical qualification candidates' progress.</li> <li>Review technical qualification program participants' continuing education activities and future developmental activities.</li> <li>Identify potential candidates for DOE certification programs.</li> </ol>
Dec/Jan	<p>Succession Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Deputy Assistant Secretaries</li> <li>Director, Office of Planning and Administration</li> <li>EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>Identify employees who have completed certification programs. <ul style="list-style-type: none"> <li>Is there minority representation?</li> <li>What strategies have they been assigned?</li> <li>Does task and level of responsibility match certification expectations?</li> </ul> </li> <li>Determine future needs for certification program participants and leadership development program participants.</li> <li>Determine where skills gaps exist.</li> <li>Develop plan for addressing anticipated skills gaps.</li> <li>Prepare Accountable Officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.</li> </ol>
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Supervisors</li> <li>EH Employees</li> <li>EH Human Resources Manager</li> </ul>	<p>Discuss new performance expectations, if any, based on the succession plan review with employee.</p>
June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Supervisors</li> <li>EH Employees</li> <li>EH Human Resources Manager</li> </ul>	<p>Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.</p>



**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

June	<p>Annual budget models</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Assistant Secretary</li> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> </ul>	Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.
July	<p>Strategic Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Assistant Secretary</li> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> </ul>	<ol style="list-style-type: none"> <li>1. Review and incorporate results and recommendations from EH-3 (Office of Corporate Performance Assessments) performance assessments.</li> <li>2. Assess progress as measured by strategic indicators in Strategic Plan.</li> <li>3. Revise objectives and strategies as needed.</li> <li>4. Ensure strategies are in line with DOE mission, strategy, and goals.</li> <li>5. Identify human capital needs resulting from new or revised objectives and strategies.</li> <li>6. Analyze and recommend organizational restructuring to optimize service and cost.</li> </ol>
August	<p>Workforce Analysis review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> <li>• EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>1. Ensure all strategies are categorized as: <ul style="list-style-type: none"> <li>• Mandated by law or order</li> <li>• Mission Critical</li> <li>• Important to mission completion</li> </ul> </li> <li>2. Re-assess current workforce. <ul style="list-style-type: none"> <li>• Losses</li> <li>• New hires</li> <li>• Projected losses</li> </ul> </li> <li>3. Identify FTEs needed</li> <li>4. Identify new skills needs and skills gaps</li> <li>5. Determine strategies for acquiring needed skills and maximizing workforce diversity and efficiency.</li> <li>6. Contact ME to employ DOE strategies for attracting new hires.</li> </ol>
	<p>IDPs submitted</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Supervisors</li> <li>• EH Employees</li> </ul> <p>EH Human Resources Manager</p>	<p>The IDP call goes out in July—before performance reviews are complete. Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications.</p> <p>Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and determine funding allocations for these activities.</p>

# **Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard**

**FY 2006**

## **Attachment 2 of 2 for Quarters 1 and 2 Submission How EH Supports the DOE Mission and Goals**

### **DOE Mission**

**The Department of Energy's overarching mission is to advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.**

**The Department has four strategic goals toward achieving the mission:**

**Defense Strategic Goal:** To protect our national security by applying advanced science and nuclear technology to the Nation's defense.

**Energy Strategic Goal:** To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy.

**Science Strategic Goal:** To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge.

**Environment Strategic Goal:** To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste.

**The commonality between all efforts undertaken by the Department of Energy is an unwavering commitment to the protection of our workers, our nation, and the environment. DOE works diligently to ensure that all programs are performed in a safe, healthful, and environmentally sound manner.**

**In an effort to guarantee the health and safety of the more than 130,000 employees and Contractors who work for the Department, DOE maintains the Office of Environment, Safety and Health. The mission of this office is to guarantee the safety of our workforce and the safe operation of DOE's programs.**

### **Worker health and safety**

The hallmark and highest priority of all DOE activities is daily excellence in the protection of the worker, the public, and the environment. Fundamental to the attainment of this vision are personal commitment, mutual trust, open communications, continuous improvement, and full involvement of all interested parties.

### **Epidemiology and radiation effects**

DOE also supports epidemiologic research on the health effects of radiation exposure among workers involved in the cleanup of nuclear reactors. Studies of workers who received high doses provide the data that help scientists understand dose response relationships and radiation health effects.

### **Environmental Responsibility**

DOE works to instill in all its personnel an instinctive appreciation for their responsibilities in the areas of safety, security, and quality so that those concepts are integral to all environmental programs and activities. Additionally, our mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

**Safety is an integral part of everything DOE does. From facility safety and worker safety to environmental responsibility that safeguards our natural surroundings, all are integrated management practices throughout DOE.**

## **Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard FY 2006**

### **Good Practices in safety management**

A major concept of integrated safety management is the integration of safety awareness and good practices into all aspects of work conducted at DOE. Simply stated, work should be conducted in such a manner that protects workers and people, and does not cause harm to the environment.

### **An important responsibility**

Responsibly maintaining worker safety, ensuring the safe use of chemicals, and adhering to technical standards enhances DOE's commitment to nuclear and facility safety.

## Appendix B:

### Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarters 3 and 4 Results Submission

#### Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This EH Human Capital Management (HCM) Scorecard provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this document.

Quarters 3 & 4		
Requirements for HCM Plan	Strategy/Activities	3rd & 4th Quarter Milestone(s)
<b>Integrate HCM Plan into decision-making processes</b> <ul style="list-style-type: none"><li>Plan linked to DOE mission, strategy, and Goals</li><li>designates accountable officials</li></ul>	Continue to provide staff briefings on a regular basis or as needed based on circumstances	
<b>Results:</b>		

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Demonstrate improvement in meeting hiring-time goals</b> <ul style="list-style-type: none"> <li>have auditable system for collecting &amp; analyzing hiring data</li> </ul>	<p>Track current hiring actions using SF-52 Tracking System Goal: Recruit actions for FY-06 3<sup>rd</sup> &amp; 4th quarter:</p> <ul style="list-style-type: none"> <li>Supervisory Management Analyst, GS-343-15 (position to be re-advertised)</li> <li>General Engineer, GS-801-14/15</li> <li>Program Analyst, GS 343-11</li> <li>Health System Specialist, GS 671-14</li> <li>Management Analyst, GS 343-14</li> <li>Secretary, GS-318-8</li> <li>Safety Engineer, GS-803-14/15</li> <li>Director, Ofc. Quality Assurance Programs</li> <li>Program Analyst, GS-343-12/13</li> <li>(2)Administrative Specialist, GS-301-9/11</li> <li>Budget Technician, GS-561-7</li> </ul>	<p>EH's Hiring Model tracks 27 working days in which hiring actions must be completed by EH staff.</p> <p>In these quarters, EH completed all hiring and promotion actions within 27 days with 80% accuracy.</p> <p><b>Critical Positions</b> General engineer – EH-31 filled 8/20/06</p> <ul style="list-style-type: none"> <li>Health Systems Specialist- 671-14</li> <li>Management Analyst, GS 343-14</li> </ul> <p><b>Non-Critical</b></p> <ul style="list-style-type: none"> <li>Program Analyst 343-11</li> <li>Program Analyst, GS-343-12/13</li> <li>(2) Administrative Specialist, GS-301-9/11</li> <li>Budget Technician, GS-561-7</li> <li>Secretary, GS-318-8</li> </ul> <p>Outstanding actions from 1<sup>st</sup> &amp; 2<sup>nd</sup> Quarters</p> <ul style="list-style-type: none"> <li>External Affairs Advisor, GS-301-15 – position eliminated</li> <li>Critical Recruit actions for FY-06 3<sup>rd</sup> quarter: <ul style="list-style-type: none"> <li>Director, Office of Nuclear Safety Research, ES-840-00</li> <li>Sr. Nuclear Safety Engineer, EK-840-V</li> <li>Sr. Nuclear Safety Research Adv.,</li> </ul> </li> </ul>

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
		EK-840-V - General Engineer, GS-801-15 - Nuclear Engineer, GS-840-15  Actions nullified due to positions transferred NNSA
<b>Results:</b> EH filled 8 mission critical positions in FY 2006, including a Deputy Assistant Secretary for Corporate Performance Assessment, a Budget Analyst to lead the Office of Budget and Financial Management. recruited 2 non-critical, and filled/promoted 10 positions thru internal action		

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Significantly reduce skills gaps in mission-critical occupations</b> identify mission-critical skills, needs, no. available, & gaps: <ul style="list-style-type: none"> <li>• address certification needs by level for project managers, contract, and information technology managers</li> <li>• develop strategies to create workplace that attracts talent</li> <li>• integrate the results of competitive sourcing &amp; E-Government</li> </ul>	Update skill gaps spreadsheet based on the re-certification, training, reorganizing & hiring of personnel.	Results: Critical skill gap spreadsheet attached <ul style="list-style-type: none"> <li>• (1) in progress for Project Management Level One</li> <li>• (1) in progress for Contract Management – Level One</li> <li>• (1) in progress for IT Project Management – Level One</li> <li>• (1) completed for IT Project Management – Level One</li> <li>• completed requirements to maintain</li> <li>• IT Project Management – Level One</li> <li>• (1) completed requirements to maintain</li> <li>• IT Project Management – Level Two</li> </ul>

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
		EH has identified the following skills as mission critical: <ul style="list-style-type: none"> <li>• Engineer</li> <li>• Environmental Protection Specialist</li> <li>• Occupational Safety &amp; Health Mgr</li> </ul>
<b>Results:</b> The Critical Skills Gap spreadsheet has been updated to reflect milestones for all quarters in FY06 - reducing skills gaps through re-certification, training, reorganizing & hiring of personnel (see attached spreadsheet).		

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Implement succession strategies</b> <ul style="list-style-type: none"> <li>include executive development programs</li> <li>result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge</li> </ul>	<p>EH currently has a qualified leadership talent pool of approximately 18 GS-15 individuals. EH will recruit and select individuals at the GS-13 and 14 levels for the executive development program based on the results of the buyout.</p> <p>Utilize re-grading of positions as a succession planning strategy by adding lower graded staff members to ensure continuity of function over time.</p>	<p>Third candidate finishing leadership program – September, 2006</p> <p>10 EH employees have received merit/promotions and/or change of positions to further development/strategies for succession planning</p>
<b>Results</b> 3 candidates for management-level positions are trained and ready to begin work as staff succession dictates  Several EH personnel have been moved into succession positions and identified for certification training. 10 EH employees have received merit/promotions and/or change of positions to further development/strategies for succession planning		

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Link Knowledge Management effort to DOE portal</b>	n/a	n/a
<b>Results:</b> The Knowledge Management Portal was used until April 2006. In compliance with DOE requirements which require all DOE related information to be housed on Websites bearing a doe.gov extension, the 2004-1 Implementation Team's Knowledge Portal ( <a href="http://www.2004-1.org">www.2004-1.org</a> ) was shut down in April 2006. The 2004-1 Knowledge Portal was designed based upon best practices of successful commercial Knowledge Portals and contained advanced Knowledge Management tools such as discussion forums and FTP protocols not currently permitted on doe.gov sites by the DOE CIO's office. As such converting <a href="http://www.2004-1.org">www.2004-1.org</a> to a doe.gov was not feasible. Prior to the deactivation, documents on the 2004-1 Knowledge Portal related to reintegrating Integrated Safety Management and the proposed DOE Safety Oversight Manual were transferred to the EH Website.		



**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Implement strategies to address under-representation of minorities</b> <ul style="list-style-type: none"> <li>particularly in mission-critical occupations &amp; leadership</li> <li>establish processes to improve and sustain diversity</li> </ul>	<p>Identify and select minority interns; recruit minority candidates for rotational assignments for The Leadership Development Program.</p> <p>Participate in DOE-sponsored activities to promote minorities in science and technical education and in recruiting minorities.</p> <p>EH will sponsor 2 minority students for the Student Diversity Partnership Program (SDPP)</p> <p>EH has implemented a Standard Operating Procedure (SOP) to assist EH managers in recruiting and hiring a diverse workforce. This SOP will assist EH managers in implementing EH's Hispanic Employment Plan, issued on October 15, 2004</p> <p>Participate in the Washington Hispanic Youth Program</p>	<p>Nathan Spruill of EH is serving on DOE's Hispanic Requirement Initiative team.</p> <p>EH participated in DOE's Katrina Relief program by providing college assistance to one female minority student from Louisiana.</p>
<b>Results</b> <p>EH is making significant strides in increasing minority representation in its organization, with a greater emphasis on recruiting Hispanic employees, by continuing to participate in the Hispanic Youth Program. EH sponsored a student from the Katrina Relief program by providing college assistance to one minority student from Louisiana for FY06. EH also funded 10 students and four professors from the HBCUs Florida A&amp;M University and South Carolina State University and the University of Missouri to attend the Day of Science in Oak Ridge. The attendees disciplines were as follows:</p> <ul style="list-style-type: none"> <li>Chemistry (3)</li> <li>Chemistry/Pre-Health (1)</li> <li>Education (1)</li> <li>Environmental Science (5)</li> <li>Industrial Manufacturing (1)</li> <li>Material Science (1)</li> <li>Nuclear Engineer (1)</li> <li>Nuclear Engineer/Civil Engineer Technician (1)</li> </ul> <p>EH has implemented a Standard Operating Procedure (SOP) to assist EH managers in recruiting and hiring a diverse workforce. This SOP will assist EH managers in implementing EH's Hispanic Employment Plan, issued on October 15, 2004</p>		

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Analyze &amp; optimize organizational structures for service and cost</b> <ul style="list-style-type: none"> <li>• use redeployment &amp; de-layering as necessary</li> <li>• integrate competitive sourcing &amp; E-Government solutions</li> <li>• put processes in place to address future needs for change</li> </ul>	Offer of buyout to 34 individuals to begin structure of implementation of buyout authority	<p>EH continues to address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. On November 10, 2005, EH received approval to offer the Voluntary Early Retirement (VERA) through September 30, 2006. Since that time five employees have retired using the VERA:</p> <ul style="list-style-type: none"> <li>• Budget Analyst, GS-560-15</li> <li>• External Affairs Advisor, GS-301-15</li> <li>• Electrical Engineer, GS-850-14</li> <li>• Industrial Hygienist, GS-690-15</li> <li>• Supervisory Nuclear Engineer, GS-840-15</li> </ul>
<b>Results</b> Buyout was approved and being implemented. These measures meet the objective of the PMA – VERA reduced the number of mid-level positions by five (5).		

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the EH workforce</b> <ul style="list-style-type: none"> <li>- differentiate between various levels of performance</li> <li>- provide consequences based on performance</li> </ul>	<p>Complete final performance reviews and individual development plans on schedule</p> <p>EH will continue to train new or replacement supervisors on the new performance management system as needed.</p>	<p>By the end of this quarter all end of year reviews and performance/progress issues will be documented and discussed.</p> <p>All managers and supervisors have been notified of impending deadlines.</p>
<b>Results</b> One EH employee was nominated for a Presidential Rank Award for Meritorious Service Award. Ninety percent of EH employees received performance awards. EH has established training sessions for EH DASs, managers and supervisors in performance review and appraisal requirements and procedures. All Managers and Supervisors completed required Performance Appraisal training requirements.		

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

<b>Quarters 3 &amp; 4</b>		
<b>Requirements for HCM Plan</b>	<b>Strategy/Activities</b>	<b>3rd &amp; 4th Quarter Milestone(s)</b>
<b>Use outcome measures to make HC decisions</b> <ul style="list-style-type: none"> <li>link HCM Plan to Program Plan(s) and FY07 Budget</li> </ul>	<p>Continue to use skills gaps analysis, organizational restructuring, and training needs to develop FY07 funding request.</p> <p>Continue to process VERA and VSIP actions; provide re-training as needed to reassigned employees</p> <p>EH will continue to utilize redeployment, realignment and reorganizing as necessary to achieve optimal organizational effectiveness. These efforts will allow EH to avoid costs of reduction in force (RIF).</p>	<p>EH continues to offer effective online training in order to reduce skill-gaps. This will reduce training costs by approximately 10%.</p> <p>EH processed 5 VERAs in this quarter resulting in an estimated savings of \$346,000 for the year.</p>
<b>Results</b> HCM actions have resulted in significant savings in the EH budget this year. EH continues to offer effective online training in order to reduce skill-gaps. This will reduce training costs by approximately 10%. EH processed 5 VERAs in this quarter resulting in an estimated savings of \$346,000 for the year.		

# Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard

FY 2006

## Attachment 1 of 2 for Quarters 3 and 4 Submission

### EH HCM Plan Cycle

Timeline	Strategy	Activities
September	<p>Final progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Supervisors</li> <li>EH Employees</li> <li>EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>Determine performance rewards.</li> <li>Identify employees for leadership development candidacy.</li> <li>Review leadership development participants' progress.</li> <li>Review technical qualification candidates' progress.</li> <li>Review technical qualification program participants' continuing education activities and future developmental activities.</li> <li>Identify potential candidates for DOE certification programs.</li> </ol>
Dec/Jan	<p>Succession Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Deputy Assistant Secretaries</li> <li>Director, Office of Planning and Administration</li> <li>EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>Identify employees who have completed certification programs.</li> <li>Is there minority representation?</li> <li>What strategies have they been assigned?</li> <li>Does task and level of responsibility match certification expectations?</li> <li>Determine future needs for certification program participants and leadership development program participants.</li> <li>Determine where skills gaps exist.</li> <li>Develop plan for addressing anticipated skills gaps.</li> <li>Prepare Accountable Officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.</li> </ol>
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>EH Supervisors</li> <li>EH Employees</li> <li>EH Human Resources Manager</li> </ul>	<p>Discuss new performance expectations, if any, based on the succession plan review with employee.</p>

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Supervisors</li> <li>• EH Employees</li> <li>• EH Human Resources Manager</li> </ul>	Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.
June	<p>Annual budget models</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Assistant Secretary</li> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> </ul>	Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.
July	<p>Strategic Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Assistant Secretary</li> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> </ul>	<ol style="list-style-type: none"> <li>1. Review and incorporate results and recommendations on performance assessments.</li> <li>2. Assess progress as measured by strategic indicators in Strategic Plan.</li> <li>3. Revise objectives and strategies as needed.</li> <li>4. Ensure strategies are in line with DOE mission, strategy, and goals.</li> <li>5. Identify human capital needs resulting from new or revised objectives and strategies.</li> <li>6. Analyze and recommend organizational restructuring to optimize service and cost.</li> </ol>

**Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard  
FY 2006**

August	<p>Workforce Analysis review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Deputy Assistant Secretaries</li> <li>• Director, Office of Planning and Administration</li> <li>• EH Human Resources Manager</li> </ul>	<ol style="list-style-type: none"> <li>1. Ensure all strategies are categorized as:</li> <li>2. Mandated by law or order</li> <li>3. Mission Critical</li> <li>4. Important to mission completion</li> <li>5. Re-assess current workforce. <ul style="list-style-type: none"> <li>• Losses</li> <li>• New hires</li> <li>• Projected losses</li> </ul> </li> <li>6 Identify FTEs needed</li> <li>7 Identify new skills needs and skills Gaps</li> <li>8. Determine strategies for acquiring</li> <li>9. needed skills and maximizing workforce diversity and efficiency.</li> <li>10. Contact ME to employ DOE strategies for attracting new hires.</li> </ol>
	<p>IDPs submitted</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> <li>• EH Supervisors</li> <li>• EH Employees</li> <li>• EH Human Resources Manager</li> </ul>	<p>The IDP call goes out in July—before performance reviews are complete. Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications. Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and determine funding allocations for these activities.</p>

## **Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard**

**FY 2006**

### **Attachment 2 of 2 for Quarters 3 and 4 Submission How EH Supports the DOE Mission and Goals**

#### **DOE Mission**

**The Department of Energy's overarching mission is to advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.**

**The Department has four strategic goals toward achieving the mission:**

**Defense Strategic Goal:** To protect our national security by applying advanced science and nuclear technology to the Nation's defense.

**Energy Strategic Goal:** To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy.

**Science Strategic Goal:** To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge.

**Environment Strategic Goal:** To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste.

**The commonality between all efforts undertaken by the Department of Energy is an unwavering commitment to the protection of our workers, our nation, and the environment. DOE works diligently to ensure that all programs are performed in a safe, healthful, and environmentally sound manner.**

**In an effort to guarantee the health and safety of the more than 130,000 employees and Contractors who work for the Department, DOE maintains the Office of Environment, Safety and Health. The mission of this office is to guarantee the safety of our workforce and the safe operation of DOE's programs.**

#### **Worker health and safety**

The hallmark and highest priority of all DOE activities is daily excellence in the protection of the worker, the public, and the environment. Fundamental to the attainment of this vision are personal commitment, mutual trust, open communications, continuous improvement, and full involvement of all interested parties.

#### **Epidemiology and radiation effects**

DOE also supports epidemiologic research on the health effects of radiation exposure among workers involved in the cleanup of nuclear reactors. Studies of workers who received high doses provide the data that help scientists understand dose response relationships and radiation health effects.

#### **Environmental Responsibility**

DOE works to instill in all its personnel an instinctive appreciation for their responsibilities in the areas of safety, security, and quality so that those concepts are integral to all environmental programs and activities. Additionally, our mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

**Safety is an integral part of everything DOE does. From facility safety and worker safety to environmental responsibility that safeguards our natural surroundings, all are integrated management practices throughout DOE.**

## **Environment, Safety, & Health Human Capital Management (HCM) Workforce Plan Scorecard FY 2006**

### **Good Practices in safety management**

A major concept of integrated safety management is the integration of safety awareness and good practices into all aspects of work conducted at DOE. Simply stated, work should be conducted in such a manner that protects workers and people, and does not cause harm to the environment.

### **An important responsibility**

Responsibly maintaining worker safety, ensuring the safe use of chemicals, and adhering to technical standards enhances DOE's commitment to nuclear and facility safety.